



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

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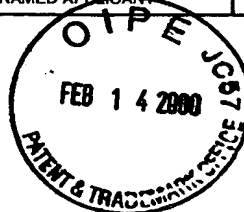
#3

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|
|--------------------|---------------------|-----------------------|---------------------------|

09/437,015 11/09/99 MIHARA

0242/1213

WILLIAM S FROMMER  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK NY 10151



NOT ASSIGNED

450100-02165

DATE MAILED 2712

**NOTICE TO FILE MISSING PARTS OF APPLICATION**

**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☐ 3. The oath or declaration:

- ☐ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration, in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*Kim Duncan*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

02/16/2000 WVAH11 00000137 09437016 130.00 DP 01 FC:105



SECRET

PATENT  
450100-02165

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshizo MIHARA et al.  
Serial No. : 09/437,016  
Filed : November 9, 1999  
For : DATA RECORDING AND/OR REPRODUCING APPARATUS  
Art Unit : 2712

745 Fifth Avenue  
New York, New York 10151  
Tel. (212) 588-0800

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231, on February 9, 2000

Glenn F. Savit, Reg. No. 37,437

Name of Applicant, Assignee or  
Registered Representative

Signature

February 9, 2000

Date of Signature

COMMUNICATION

Assistant Commissioner for Patents  
Attn: Box Missing Parts  
Washington, D.C. 20231

Sir:

Enclosed herewith is a copy of the "Notice to File Missing Parts of Application" (form PTO-1533) dated December 13, 1999 on the above application, a Declaration duly signed by the inventors, and a check in the amount of the required \$130.00 surcharge. By separate cover, we are filing the Assignment and the \$40.00 fee for recording same.

PATENT  
450100-02165

Please charge any additional fees incurred or credit  
any overpayment to Deposit Account No. 50-0320.

In view of the foregoing, it is believed that the  
identified application is now complete. Early examination of the  
application on its merits is solicited.

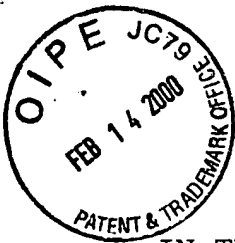
Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

By: 

Glenn F. Savit  
Reg. No. 37,437  
Tel. (212) 588-0800

Enclosure



FILE COPY receipt

PATENT  
450100-02165

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshizo MIHARA et al.  
Serial No. : 09/437,016  
Filed : November 9, 1999  
For : DATA RECORDING AND/OR REPRODUCING APPARATUS  
Art Unit : 2712

745 Fifth Avenue  
New York, New York 10017-5151  
Tel. (212) 588-0890

RECEIVED  
MAR 27 2000  
TC 2760 MAIL ROOM

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231, on February 9, 2000

Glenn F. Savit, Reg. No. 37,437

Name of Applicant, Assignee or  
Registered Representative

Signature

February 9, 2000

Date of Signature

REQUEST FOR CORRECTED FILING RECEIPT

Application Processing Division  
Customer Correction Branch  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

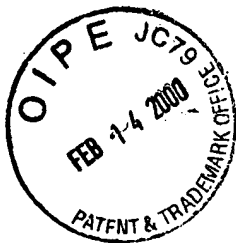
This is a Request to correct the Filing Receipt issued  
in the above-identified application.

Under Total Claims:

Please correct "7" to --9--.

Under Independent Claims:

Please correct "1" to --3--.



PATENT  
450100-02165

Under Foreign Application(s):

Please insert --JAPAN P10-335000 11/10/98.

The foregoing changes are needed to correct inadvertent errors, as evidenced by the Declaration submitted with the parent patent application. A copy of the Filing Receipt with the requested correction(s) noted thereon in red ink is also enclosed.

The issuance of a corrected Filing Receipt is respectfully requested.

Please charge any fees required for this correction or credit any overpayment to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

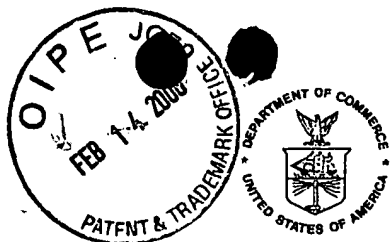
By: 

Glenn F. Savit  
Reg. No. 37,437  
Tel. (212) 588-0800

Enclosure

RECEIVED  
MAR 27 2000  
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FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTORNEY DOCKET NO. | DRWGS | TOT CL | IND CL |
|--------------------|-------------|--------------|---------------|---------------------|-------|--------|--------|
| 09/437,016         | 11/09/99    | 2712         | \$760.00      | 450100-02165        | 4     | X      | X      |

9 3

WILLIAM S FROMMER  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK NY 10151

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to the Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

RECEIVED  
MAR 21 2000  
TC 2700 MAIL ROOM

Applicant(s) YOSHIZO MIHARA, KANAGAWA, JAPAN; ICHIRO FUJISAWA,  
KANAGAWA, JAPAN; HIROSHI MASUDA, KANAGAWA, JAPAN.

FOREIGN APPLICATIONS- JAPAN

P10-335000

11/10/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 12/08/99

TITLE

DATA RECORDING AND/OR REPRODUCING APPARATUS

PRELIMINARY CLASS: 386

DOCKETED

DATA ENTRY BY: DUNCAN, KIMBERLY

TEAM: 04 DATE: 12/08/99



(See reverse for new important information)